



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Jeffery J. Wheeler *et al.*

Application No.: 09/431,594

Filed: November 1, 1999

For: LIPID-NUCLEIC ACID
PARTICLES PREPARED VIA
HYDROPHOBIC LIPID-NUCLEIC
ACID COMPLEX INTERMEDIATE
AND USE FOR GENE TRANSFER

Confirmation No. 8936

Examiner: Jane J. Zara

Art Unit: 1635

***Declaration of Ian MacLachlan, Ph.D.
Under 37 C.F.R. § 1.132***

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

I, Ian MacLachlan, Ph.D., state and declare as follows:

1. All statements herein made of my own knowledge are true, and statements made on information or belief are believed to be true and correct.
2. I hold a Ph.D. (1994) from the University of Alberta, and a Bachelor of Science degree (1988) from the University of Alberta. I am presently the Chief Scientific Officer for Protiva Biotherapeutics, Inc. (Burnaby, Canada).
3. My field of expertise is nucleic acid delivery and molecular gene therapy. I have authored over twenty-five publications in the field of nucleic acid delivery technology, molecular gene therapy and molecular genetics, and I am a member of the American Society of Gene Therapy and the Oligonucleotide Therapeutics Society.
4. Attached hereto as Exhibit A is a true copy of my *curriculum vitae* and a list of publications of which I am an author or co-author.

5. I have read and am familiar with the contents of the above-referenced patent application. In addition, I have read the Office Action, mailed June 14, 2005, received from the United States Patent & Trademark Office in the above-referenced patent application. It is my understanding that the Examiner is concerned that claims 42, 44-61 and 63-75 are anticipated under 35 U.S.C. § 102(e) over U.S. Patent No. 5,820,873 ("Choi *et al.*"), and that claims 42, 44-61, 63-64 and 67-75 are anticipated under 35 U.S.C. § 102(e) over U.S. Patent No. 5,885,613 ("Holland *et al.*"). More particularly, it is my understanding that Choi *et al.* and Holland *et al.* are cited by the Examiner as allegedly disclosing nucleic acid-lipid particles that meet the structural limitations of the particles of the instant invention. For the reasons set forth herein, the Examiner's concerns are overcome.

6. This declaration is provided to clarify for the Examiner distinguishing elements of the presently claimed invention and to demonstrate that the methods described in Choi *et al.* and Holland *et al.* **cannot** be used to produce the nucleic acid lipid particles that are structurally the same as the presently claimed nucleic acid-lipid particles. Specifically, this declaration is provided to clarify for the Examiner the data presented in my prior declaration filed May 30, 2005 and to present additional data that demonstrate that the nucleic acid-lipid particles of the present invention are structurally distinct from those produced by the methods of Choi *et al.* and Holland *et al.*.

7. The presently claimed invention is directed, *inter alia*, to nucleic acid-lipid particles for introducing a nucleic acid into a cell either *in vitro* or *in vivo*. The nucleic acid is **encapsulated** in the lipid portion of the particle.

8. It is my understanding that the Examiner is concerned that the data presented in my prior declaration demonstrate that 7-15% of the nucleic acid particles made by the methods disclosed in Choi *et al.* and Holland *et al.* contain encapsulated nucleic acid. However, as discussed in detail below, experiments conducted under my supervision unequivocally demonstrate that the methods disclosed in Choi *et al.* and Holland *et al.* do not meet the structural limitations of the particles produced by the methods of the instant invention.

9. As previously explained, to further demonstrate that the dehydration-rehydration-extrusion methods set forth in Choi *et al.* and Holland *et al.* do **not** produce the presently claimed liposomal formulations, a series of experiments using such methods were conducted under my supervision. A lipid solution containing a total of 2.22 μ moles lipid and comprising DOPE:DODAC:PEG-ceramide C14 (82.5:7.5:10 molar percent), was prepared by dissolving these lipids in chloroform. Nitrogen gas was used to drive off chloroform to form a lipid film. The lipid film was then hydrated with 2 ml phosphate buffered saline (pH 7.4) containing 50 or 100 μ g of nucleic acid (*i.e.*, plasmid DNA) to generate liposomal samples with drug (*i.e.*, nucleic acid):lipid ratios of 22.5 and 45 μ g input DNA/ μ mol. The resulting suspension was subjected to 5 rounds of freezing in liquid nitrogen and thawing in a 37°C water bath, to increase homogeneity of the resulting multilamellar vesicles. The multilamellar vesicles were all greater than 10,000 nm in diameter and are not liposomes encapsulating nucleic acid. To produce liposomes of appropriate size, the samples were then extruded 10 times through 2 stacked 100 nm polycarbonate filters using a 10-mL Extruder (Northern Lipids Inc.) and nitrogen gas at 400-600 psi. The association of the plasmid DNA with lipid was determined using membrane-impermeable Picogreen which fluoresces in the presence of plasmid DNA. The proportion of nucleic acid encapsulated in the liposomes was determined by measuring the fluorescence intensity of the Picogreen before and after the addition of the detergent Triton X-100.

As set forth in Exhibit B, plasmid encapsulation and recovery were both extremely inefficient at both of the input nucleic acid amounts examined. Specifically, as shown in column I, prior to extrusion only 12% or 32% of the input nucleic acid was inaccessible to PicoGreen due to its association with or incorporation into >10,000 nm multilamellar vesicles (*see*, Exhibit B). As shown in Column II, only 7% or 15% of the recovered nucleic acid was inaccessible to PicoGreen post-extrusion. As shown in Column III, only 1.4% or 2% of the input nucleic acid was actually recovered after the extrusion step necessary to form actual liposomes (*see*, Exhibit B). To properly calculate the amount of input nucleic acid recovered and encapsulated after extrusion, the amount of input nucleic acid inaccessible to PicoGreen post-

extrusion (Column II) is multiplied by the amount of input nucleic acid recovered post-extrusion (Column III). This calculated amount is set forth in Column IV and demonstrates that only **0.21%** or **0.14%** of the input nucleic acid was recovered **and encapsulated** post extrusion. Moreover, the particle sizes for all of these extruded samples were all considerably larger than 100 nm. These results unequivocally demonstrate that dehydration-rehydration-extrusion methods disclosed in Choi *et al.* and Holland *et al.* do **not** produce nucleic acid-lipid particles that meet the structural limitations of the particles of the instant invention (*i.e.*, liposomes that encapsulate plasmid DNA).

10. In view of the foregoing, it is my opinion that Choi *et al.* and Holland *et al.* do not teach (or even suggest) the presently claimed liposomes because Choi *et al.* and Holland *et al.* do not teach (or even suggest) (1) liposomes wherein the nucleic acid is encapsulated in the liposome and is resistant in aqueous solution to degradation with a nuclease, or (2) methods for making such liposomes. Moreover, it has been unequivocally demonstrated that the dehydration-rehydration-extrusion methods described in Choi *et al.* and Holland *et al.* do not lead to the presently claimed nucleic acid-lipid particles wherein the nucleic acid is encapsulated in the lipid portion of the particle.

11. In view of the foregoing, it is my opinion that **neither** the Choi *et al.* patent nor the Holland *et al.* patent teach (or even suggest) the nucleic acid-lipid particles recited in claims 42 and 44-75 because **neither** Choi *et al.* nor Holland *et al.* teach (or even suggest) (1) nucleic acid-lipid particles, wherein the nucleic acid in the nucleic acid-lipid particles is encapsulated in the lipid component of the particle and is resistant in aqueous solution to degradation with a nuclease, or (2) methods for making such nucleic acid-lipid particles. Moreover, it has been unequivocally demonstrated that the loading/encapsulation methods described in Choi *et al.* and Holland *et al.* do not lead to the presently claimed nucleic acid-lipid particles resistant in aqueous solution to degradation with a nuclease.

12. I further declare that all statements made herein of my knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements are made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that any such willful false statements may jeopardize the validity of the application or any patent issuing thereon.



Dated: December 20, 2005

/ Ian MacLachlan, Ph.D. /

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CURRICULUM VITAE
IAN MACLACHLAN, PH.D.

BIOGRAPHIC DATA

Name: Ian MacLachlan

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Vancouver, BC,
Canada, V5L 2Y2

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EDUCATION

May 1988 - Jun 1994 **Ph.D. (Biochemistry)**
University of Alberta, Edmonton, Canada,
& Department of Molecular Genetics, University of Vienna, Austria.

Sep 1985 - May 1988 **B.Sc. (Biochemistry)**
University of Alberta, Edmonton, Canada.

Sep 1982 - May 1984 **Biological Sciences**
University of Calgary, Calgary, Canada.

EXPERIENCE

Sep 2000 - Present	Chief Scientific Officer Protiva Biotherapeutics, Inc., Burnaby, BC, Canada.	Development of Non-Viral Nucleic Acid Delivery Systems for Cancer, Inflammatory and Infectious Disease.
Jul 1996 - Aug 2000	Team Leader / Research Scientist Inex Pharmaceuticals Corporation Burnaby, BC, Canada.	Non-Viral Cancer Gene Therapy. Suicide Gene Therapy, Pharmacology, Vector Development, Tumor Modeling, Inducible Gene Expression.
Jul 1994 - Jun 1996	Research Fellow Howard Hughes Medical Institute Department of Internal Medicine University of Michigan, USA. Supervisor: Dr. G.J. Nabel	TNF Mediated Activation of NF- κ B and the HIV LTR Adenoviral Gene Therapy for Restenosis. The Role of NF- κ B in Vertebrate Development.
May 1988 - Jun 1994	Graduate Student Lipid and Lipoprotein Research Group University of Alberta, AB, Canada. & Dept. of Molecular Genetics University of Vienna, Austria. Supervisor: Dr. Wolfgang Schneider	Molecular Genetics of the Lipoprotein Receptor Family. Characterization of the Receptor Mediated Uptake of Riboflavin Binding Protein Including Cloning and Characterization of the <i>rd</i> Mutant.
Jan 1988 - Apr 1988	Undergraduate Research University of Alberta, AB, Canada. Supervisor: Dr. Wayne Anderson	Computerized Sequence Analysis of Lipoproteins, Crystallography of Membrane Proteins.

Sep 1987 - Dec 1987	Undergraduate Research University of Alberta, AB, Canada. Supervisor: Dr. Wolfgang Schneider	Purification and Characterization of Apolipoprotein VLDL-II, an Inhibitor of Lipoprotein Lipase.
Summer 1987	Undergraduate Research Bamfield Marine Station, Canada. Supervisor: Dr. Ron Ydenberg	Behavioral Analysis of the Polychaete, <i>Eudystilia vancouveri</i> .
May 1983 - Dec 1986	Programmer Canadian Hunter Exploration Ltd. Calgary, Alberta, AB, Canada.	Programming of Oil and Gas Reservoir Simulations and Data Analysis Tools Used to Guide the Exploration Efforts of an Oil and Gas Company.

TRAINING

June 2004	American Society of Gene Therapy/ USFDA	Long Term Follow-up of Participants in Human Gene Transfer Research
March 2003	American Society of Gene Therapy / USFDA	Non-Clinical Toxicology in Support of Licensure of Gene Therapies
Sept 2002	Protiva Biotherapeutics	WHMIS and Chemical Safety Retraining
Sept 2002	TLM Consulting	Basic GMP Training
June 2002	American Society of Gene Therapy / USFDA	Clinical Gene Transfer Comprehensive Review Course
Apr 2002	TLM Consulting	Introduction to Gene Therapy Clinical Trials and GLP/GMP
Jul 2001	Protiva Biotherapeutics	Cytotoxic Drug Training
May 2001	American Society of Gene Therapy / USFDA	Clinical Gene Transfer Training Course
Jun - Sep 1998	Leadership Edge Consulting	Lab-to-Leader Training Program Project Management, Coaching, Team Management
Oct 1997	Pape Management Consulting	Project Management Training II
May 1997	University of British Columbia	Radionuclide Safety and Methodology
Feb 1997	Pape Management Consulting	Project Management Training I

AWARDS AND DISTINCTIONS

1995 - 1998	Medical Research Council of Canada Fellowship
1993	Mary Louise Imrie Graduate Award, Faculty of Graduate Studies and Research, University of Alberta
1992 - 1994	Austrian Fonds zur Förderung der Wissenschaftlichen Forschung (Austrian Ministry of Science Scholarship)
1989 - 1993	Heart and Stroke Foundation of Canada Research Trainee
1982	Rutherford Scholarship

AFFILIATIONS AND MEMBERSHIPS

1999 - 2002	Science Council of British Columbia - Health Technology Committee
1998 - Present	American Society of Gene Therapy, Member
2004 - Present	American Society of Gene Therapy - Non-viral Vectors Committee

PUBLICATIONS

- Judge, A.D., Sood, V., Shaw, J.R., Fang, D., McClintock, K. and MacLachlan, I., *Synthetic siRNA Stimulate the Mammalian Innate Immune Response in a Sequence Dependent Manner*, In Press: Nature Biotech, 2005.
- Heyes, J., Palmer, L.R., Bremner, K. and MacLachlan, I., *Cationic Lipid Saturation Influences Intracellular Delivery of Encapsulated Nucleic Acids*, In Press: Journal of Controlled Release, 2005.
- Ambegia, E.G., Ansell, S., Cullis, P.R., Heyes, J.A., Palmer, L.R. and MacLachlan, I., *Stabilized Plasmid-Lipid Particles Containing PEG-Diacylglycerols Exhibit Extended Circulation Lifetimes And Tumor Selective Gene Expression*, In Press: Biochim Biophys Acta, 2005.
- Jeffs, L.B., Palmer, L.R., Ambegia, E.G., Giesbrecht, C., Ewanick, S. and MacLachlan, I., *A Scalable, Extrusion Free Method for Efficient Liposomal Encapsulation of Plasmid DNA*, In Press: Pharmaceutical Research, 2005.
- MacLachlan, I. and Cullis, P.R., *Diffusible-PEG-Lipid Stabilized Plasmid Lipid Particles*, In Press: In: Non-viral Vectors for Gene Therapy, Huang, L., Hung, M.C. and Wagner, E., Eds. Academic Press, 2005.
- Finn, J., MacLachlan, I., Cullis, P.R., *Factors Limiting Autogene-based Cytoplasmic Expression Systems*, In Press: FASEB Journal, 2005.
- Finn, J., Lee, A., MacLachlan, I., Cullis, P.R., *An Enhanced Autogene-based Dual Promoter Cytoplasmic Expression System Yields Increased Gene Expression*, Gene Ther. 2004 Feb;11(3):276-83.
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- Pampinella, F., Pozzobon, M., Zanetti, E., Gamba, P.G., MacLachlan, I., Cantini, M., Vitiello, L., *Gene Transfer In Skeletal Muscle by Systemic Injection of DODAC Lipopolyplexes*, Neurological Science, 21:S971-973, 2000.
- MacLachlan, I., Cullis, P.R., Graham, R.W., *Synthetic Virus Systems for Systemic Gene Therapy*. In: *Gene Therapy: Therapeutic Mechanisms and Strategies*, Smyth-Templeton, N., Lasic, D.D., (Eds.) Marcel Dekker, New York, 2000.

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- Wu, B., Woffendin, C., MacLachlan, I., Nabel, G.J., *Distinct Domains of I κ B- κ Inhibit Human Immunodeficiency Virus Type I Replication Through NF- κ B and Rev*, J. Virology, 71(4):3161-3167, 1997.
- MacLachlan, I., Steyrer, E., Hermetter, A., Nimpf, J., Schneider, W. J., *Molecular Characterization of Quail Apolipoprotein II: Disulphide-bond Mediated Dimerization is Not Essential For Inhibition of Lipoprotein Lipase*. Biochem. J. 317: 599-604, 1996.
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- MacLachlan, I., Nimpf, J., Schneider, W. J., *Japanese Quail Apo-VLDL-II: cDNA Sequence and Comparison to Chicken Apo-VLDL-II, a Specific Inhibitor of Lipoprotein Lipase*. Atherosclerosis: 109: 62, 1994.
- MacLachlan, I., Schneider, W.J., *Avian Riboflavin Binding Protein Binds to Lipoprotein Receptors in Association With Vitellogenin*. J. Biol. Chem., 269: 24127-24132, 1994.
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SELECTED ABSTRACTS

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- MacLachlan, I., Ambegia, E., McClintock, K., Jeffs, L., Palmer, L., Meitz, A., & Cullis, P.R, *Disease Site Targeting and Tumor Specific Gene Expression of Stable Plasmid-Lipid Particles for Systemic Gene Delivery*, Eleventh International Conference on Cancer Gene Therapy, July 11-12, 2002.
- Finn, J.D., Lee, A., MacLachlan, I., Cullis, P.R. *The Development and Characterization of a Cytoplasmic Expression System Based on the T7 Phage RNA Polymerase Protein*. American Society of Gene Therapy, 5th Annual Meeting, June 5-9, 2002.
- Sandhu, A., Verheul, R., de Jong, S., MacLachlan, I., Cullis, P. *Enhancing the Intracellular Delivery Characteristics of Stable Plasmid-Lipid Particles*. American Society of Gene Therapy, 5th Annual Meeting, June 5-9, 2002.
- MacLachlan, I., Ambegia, E., Meitz, A., Tam, P., Cullis, P.R. *Programmable pharmacokinetics, disease site targeting and tumor specific gene expression of stable plasmid-lipid particles for systemic gene delivery*. Tenth International Conference on Gene Therapy of Cancer, Dec 13-15, 2001

- Kyla, C., Cullis, P., Carr, K., Murray, M., Shaw, J., Palmer, L., MacLachlan, I. *Effect of Cationic Lipid Structure on the Pharmacology and Resulting Transfection Activity of Stabilized Plasmid Lipid Particles (SPLP)*. American Society of Gene Therapy, 4th Annual Meeting, May 30-June 3 2001.
- Wong, T., Wong, K., Cullis, P., Fenske, D., MacLachlan, I., Sandu, A., Lo, E. *Optimizing the Transfection Potency of Stable Plasmid-Lipid Particles Based on the Endosomal Release Parameter*. American Society of Gene Therapy, 4th Annual Meeting, May 30-June 3 2001.
- Cullis, P., Finn, J., MacLachlan, I. *The Development and Comparison of Three Cytoplasmic Expression Systems Based on the T7, T3 and SP6 Phage RNA Polymerase Proteins*. American Society of Gene Therapy, 4th Annual Meeting, May 30-June 3 2001.
- Ansell, S., Currie, K., Ambegia, E., Cullis, P., Carr, K., MacLachlan, I., Murray, M. *Stabilized Plasmid Lipid Particles Containing Diacylglycerol Anchored PEG Lipids: In vitro and In Vivo Characterization*. American Society of Gene Therapy, 4th Annual Meeting, May 30-June 3 2001.
- Ambegia, E., Cullis, P., Fenske, D., Palmer, L., MacLachlan, I., Murray, M. *Programmable Pharmacokinetics, Disease Site Targeting and Tissue Specific Gene Expression of Stable Plasmid-Lipid Particles for Systemic Gene Delivery and Expression*. American Society of Gene Therapy, 4th Annual Meeting, May 30-June 3 2001.
- Finn, J., MacLachlan, I., Cullis, P. *The development and comparison of three cytoplasmic expression systems based on the T7, T3 and SP6 phage RNA polymerase proteins*. Gene Therapy 2001: A Gene Odyssey, January 6-11, 2001.
- MacLachlan, I., Fenske, D., Ambegia, E., Murray, M., Cullis, P. *Programmable Pharmacokinetics, Disease Site Targeting and Tissue Specific Gene Expression of Stable Plasmid-Lipid Particles for Systemic Gene Delivery and Expression*, Gene Therapy 2001: A Gene Odyssey, January 6-11, 2001.
- MacLachlan, I., Fenske, D., Palmer, L., Wong, K., Lam, A., Chen, T., Cullis, P. *Elimination of PEG-Lipid mediated Inhibition of Transfection*. Third Annual Meeting of the American Society of Gene Therapy, May 31-June 4, 2000.
- Ahkong, L., Airess, R., Harasym, T., Hope, M., Klimuk, S., Leng, E., MacLachlan, I., Semple, S.C., Tam, P. and Cullis, P.R., *Pre-clinical Studies with Liposomal Mitoxantrone: Formulation, Pharmacokinetics, Toxicity and Efficacy*, 7th Liposome Research Days, April 12-15, 2000.
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- MacLachlan, I., Palmer, L.R., Fenske, D.B., Lam, A.M.I., Wong, K.F., Chen, T., Cullis, P.R. *A Flexible Platform for Enhancing the Transfection Potential of PEG-Lipid Containing Transfection Reagents*. Gene Therapy: The Next Millennium, January 6-12 2000.
- Graham, R.W., Tam, P., Lee, D., Thompson, J., Geisbrecht, C., Lee, A., Thompson, V., MacLachlan, I. *A Gene Specific Increase in the Survival of Tumor Bearing Mice Following Systemic Non-Viral Gene Therapy*. American Society of Gene Therapy, 2nd Annual Meeting, June 9-13, 1999.
- MacLachlan, I., Tam, P., Ayres, S., Buchkowsky, S., Lee, A., Saravolac, E.G., Graham, R.W. *Encapsulated Non-Viral Gene Delivery Systems for Suicide Gene Therapy*. American Society of Gene Therapy, 1st Annual Meeting, May 28-31st, 1998.
- Buchkowsky, S., Ayres, S., Graham, R., MacLachlan, I. *Liposomal Encapsulation of Ganciclovir Results in Improved Pharmacokinetics and Biodistribution*. American Society of Gene Therapy, 1st Annual Meeting, May 28-31st, 1998.

Exhibit B

	I	II	III	IV
Sample	% Input Nucleic Acid Inaccessible to Picogreen Prior to Extrusion	% Recovered Nucleic Acid Inaccessible to Picogreen Post-Extrusion	% Input Nucleic Acid Recovered Post-Extrusion	% Input Nucleic Acid Recovered and Encapsulated Post-Extrusion
Empty vesicles	n/a	n/a	n/a	n/a
Plasmid DNA 22.5 $\mu\text{g}/\mu\text{mol}$	32 ± 6	15 ± 10	1.4 ± 0.5	$0.21 \pm .16$
Plasmid DNA 45 $\mu\text{g}/\mu\text{mol}$	12 ± 5	7	2.0	0.14